

OFFICE OF THE CHIEF OF POLICE

SPECIAL ORDER NO. 4

April 6, 2010

**SUBJECT: INTERNAL AUDITS AND INSPECTIONS DIVISION -  
ESTABLISHED; AND REVISED PROCEDURES FOR CONDUCTING  
AUDITS AND INSPECTIONS**

**PURPOSE:** This Order activates the Internal Audits and Inspections Division (IAID). Audit Division and Civil Rights Integrity Division have combined to create IAID in an attempt to facilitate consistency in auditing, eliminate duplicate audits and provide commanding officers with greater deployment flexibility. The Internal Audits and Inspections Division will remain under the command of the Special Assistant for Constitutional Policing. This new entity will conduct the majority of audits/inspections currently being conducted by Department entities as part of a comprehensive risk-management strategy. For procedures pertaining to external (non-Department) audits/inspections, refer to Department Manual Section 3/220.51.

**PROCEDURE:** Internal Audits and Inspections Division shall have the ultimate responsibility of any administrative audits/inspections of activities/functions representing a "high" risk to the Department.

**I. AREA/DIVISION COMMANDING OFFICER'S RESPONSIBILITIES.**

Prior to requesting an administrative audit/inspection, a commanding officer must evaluate whether the activity/function is "high" risk. An activity/function is "high" risk if it has the potential to significantly impact one or more of the following:

- \* Department Goals;
- \* Employee and/or public safety;
- \* Risk-management issues; and,
- \* Community relations.

Examples of "high" risk subject areas include:

- \* Vehicle pursuits;
- \* Use of force investigations;
- \* Gang unit work products/selections;
- \* Field Training Officer selections;
- \* Search warrant packages; and,
- \* Due diligence audits.

If the subject area is considered **"high" risk**, IAID shall conduct the audit/inspection.

If the subject area is considered "low" risk, the audit/inspection may continue to be completed by Department entities at the discretion of the concerned commanding officer. Audits/inspections of "low" risk activities/functions, however, should be kept to a minimum.

Examples of "low" risk subject areas include:

- \* Timekeeping/overtime report inspections;
- \* Regularly-scheduled equipment/uniform inspections;
- \* Failure to Qualify inspections; and,
- \* Secondary employment permit inspections.

If a commanding officer has difficulty categorizing the risk of an activity/function, the Commanding Officer, IAID, shall be contacted to determine the appropriate entity to conduct the audit/inspection.

**II. AREA/DIVISION COMMANDING OFFICER'S NOTIFICATIONS TO INTERNAL AUDITS AND INSPECTIONS DIVISION.** An Area/division commanding officer that has identified the need for a "high" risk audit/inspection shall forward a notification via Intradepartmental Correspondence, Form 15.02.00, utilizing the attached template, through his/her designated chain-of-command to the Commanding Officer, IAID.

**Note:** If the need to conduct an audit/inspection is **urgent**, the Area/division commanding officer shall contact his/her bureau commanding officer to obtain concurrence and then promptly notify the Commanding Officer, IAID. At that time, resources within IAID will be prioritized to commence the audit/inspection, immediately.

**III. INTERNAL AUDITS AND INSPECTIONS DIVISION'S RESPONSIBILITIES.** The Commanding Officer, IAID, will evaluate each notification to determine whether the proposed audit/inspection is necessary and whether IAID's personnel should perform the audit/inspection. Within 20 calendar days of receipt of each notification, the Commanding Officer, IAID, will:

- \* Contact the requesting commanding officer to discuss the audit/inspection date on which IAID will begin the audit/inspection; or,

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- \* Request, via Intradepartmental Correspondence, that the concerned commanding officer's chain-of-command complete the audit/inspection; or,
- \* Contact the requesting commanding officer to discuss the proposed audit/inspection if the audit/inspection's overall value to the Department appears to be limited.

**AMENDMENTS:** This Order amends Sections 0/080.30, 1/668.08, 3/791.10, 4/105.15, 4/110.20, 4/552.05, 4/552.07, 5/030.50, and 5/080.96 of the Department Manual.

**MONITORING RESPONSIBILITY:** The Commanding Officer, Internal Audits and Inspections Division, shall have monitoring responsibility for this directive.

**AUDIT RESPONSIBILITY:** The Commanding Officer, Internal Audits and Inspections Division, shall review this directive and determine whether an audit or inspection shall be conducted in accordance with Department Manual Section 0/080.30.



CHARLIE BECK  
Chief of Police

Attachment

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## INTRADEPARTMENTAL CORRESPONDENCE

Spell Out Date Here (e.g., November 5, 2009)

Reference #

**TO:** Commanding Officer, Internal Audits and Inspections Division

**FROM:** Commanding Officer, (Enter your division/Area/bureau here)

**SUBJECT:** AUDIT/INSPECTION OF A "HIGH" RISK ACTIVITY/FUNCTION

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**AUDIT/INSPECTION OBJECTIVE:** List the major objective(s) of the audit/inspection you are seeking to have completed (e.g., verify supervisors are properly reviewing and approving applications for search warrants through an inspection).

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**REASON AUDIT/INSPECTION IS NEEDED:** Provide an explanation here (e.g., "Although there is an annual audit of this area, the prior audit found significant concerns related to inconsistencies with search warrants and supporting documentation within my command and, therefore, I would like an interim follow-up inspection of this area.").

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**REASON WHY MY COMMAND SHOULD PERFORM THE AUDIT/INSPECTION:** Enter "Not Applicable" or provide an explanation (e.g., "It is requested that my command perform this inspection, as it will focus on one area and should be completed within one week. I believe it would be more efficient for my command to perform the inspection.").

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**REASON WHY INTERNAL AUDITS AND INSPECTIONS DIVISION SHOULD PERFORM THE AUDIT/INSPECTION:** Enter "Not Applicable" or provide an explanation (e.g., "It is requested that Internal Audits and Inspections Division perform the inspection, as this is a "high-risk" function or my command does not have the resources or my available resources do not have any auditing experience.").

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If you have any questions regarding this request, please contact (Enter contact, including phone number information here).

\* Include commanding officer's signature block here.

Attachment (if applicable).